

2013

Texas Capital Fund Main Street Improvements Program Application



Texas Department of Agriculture
1700 N. Congress
P.O. Box 12847
Austin, Texas 78711-2847

TO: Non-Entitlement Main Street city (Applicant)

FROM: Texas Department of Agriculture

SUBJECT: Application for the Texas Capital Fund Main Street Program

Thank you for your interest in the Texas Capital Fund (TCF). The TCF Main Street Program was created to improve the Texas economy. The program funds are a part of the United States Department of Housing and Urban Development (HUD) Community Development Block Grant (CDBG) Program. The CDBG Program is known as the Texas Community Development Block Grant Program (TxCDBG). The TxCDBG is administered by the Texas Department Agriculture (TDA).

The state has not yet received the 2013 allocation of funds from HUD. We anticipate an allocation similar to the amount received for 2012, which was approximately \$57 million for non-entitlement communities. Of this amount, TCF received approximately \$8.6 million, with \$600,000 allocated for the Main Street Improvements Program. Although, the 2013 allocation has not been made yet, the Main Street set aside will still be \$600,000. These Main Street funds will be awarded for the purpose of aiding in the elimination of slum and/or blight conditions in the designated downtown Main Street area.

This document provides information on the organization of the Application and forms for the Application. Also, forms may be obtained through e-mail or CD. Please refer to the Guidelines for additional comprehensive information about the program. **Completed Applications should be addressed and submitted to the Texas Department of Agriculture** as follows:

Texas Capital Fund
Office of Rural Affairs
Texas Department of Agriculture
1700 N. Congress
Stephen F. Austin Bldg., 2nd Floor/Room 220
Austin, Texas 78701

(512) 463-7476
FAX (888) 216-9867
e-mail: matthew.schmidt@TexasAgriculture.gov
Web site: <http://www.TexasAgriculture.gov>

TDD/IT (800) 735-2988. The Texas Department of Agriculture is an equal opportunity employer/program. Auxiliary aids and services will be made available upon request to individuals with disabilities.

**Application/Review checklist for Texas Capital Fund
Main Street Program**

The following items **must** be included in the application in the order in which they are listed, and **all documents must be originals**. Only one complete application should be submitted, to the Texas Department of Agriculture in a three-ring binder with tabs identifying each section. **All documentation must be placed in the appropriate section. Failure to comply may result in loss of application points, unnecessary delay of evaluation of the application and/or a more extensive deficiency letter.**

If the application is found to be substantially incomplete it will be denied without further consideration. Applications that have deficiencies will be given 10 business days to satisfy those deficiencies before the evaluation process is continued. Failure to respond may result in an application being **denied**.

For Department Use Only	TEXAS CAPITAL FUND Main Street Program Application Contents	Applicant Use Initial if complete NA if not applicable
Complete Incomplete		

Presentation of Application

	I) Original documents	
	II) Application presented in a three-ring binder with divider tabs	
	III) Application/Review Checklist executed/signed by applicant	
	IV) Score Sheet (pg 5) All documentation to support scores must be located in Section D.	

Section A – Project Summaries

	I) Completed Application Form	
	II) Project Information & Applicant Minority Hiring Table	

Section B – Slum/Blight Objective

	I) Original or Certified Ordinance or Resolution	
	A. Description of Main Street area and boundary	
	B. Description of conditions contributing to the slum and/or blight condition	
	C. How will the proposed improvements contribute to eliminating these conditions	
	II) Provide a max of 25 photos on a disk/CD/flash drive showing area's slum/blight conditions & items to be improved, with a separate narrative description of each photo	

Section C – Sources and Uses of Funds and Budget Justifications

	I) Sources and Uses Form	
	II) Budget Justifications	
	A. Grant funds and/or matching funds for real estate	
	Complete legal description	
	B. Engineering/Architectural Services (Match Only)	
	1. Description of services and related costs	
	2. Name of individual/firm who prepared the justification and the date of preparation. Must be signed and sealed by a Texas registered engineer or architect.	
	C. Public Infrastructure	
	1. Quantity/size	
	2. Type of material	
	3. Labor costs to include Davis-Bacon wage rates (only if construction is TCF funded)	
	4. Name of individual/firm who prepared the statement. Must be signed and sealed by a Texas registered engineer or architect.	
	5. Transcribed locations of each length of infrastructure to include <i>To, From, Along, and Distance</i> in linear feet (sample in <i>Guidelines, pg. 12</i>)	
	6. Support information	
	D. Building construction/rehabilitation with matching funds	
	1. Size of building and specifications	
	2. Material costs	
	3. Name of individual/firm who prepared the statement and date. Must be signed and sealed by a Texas registered engineer or architect.	
	E. Administration Costs (see sample in <i>Guidelines, pg. 12</i>)	

For Department Use Only		TEXAS CAPITAL FUND Main Street Program Application Contents	Applicant Use Initial if complete NA if not applicable
Complete	Incomplete		
		III) Project Site Magnification Map and/or site survey identifying all improvements and location of businesses and buildings benefiting from the improvements. Map must be color-coded and to scale. A legend or key is required.	
		IV) Map of Designated Main Street Area and Map of entire city	
		V) City financial commitment letter with resolution	
		VI) Lender commitment letter – Verification of Deposit and/or Resolution	
		VII) Letter from applicant addressing its inability to fund the proposed improvements	

Section D – Main Street Criteria

Provide sufficient detailed support documentation identifying how all scoring criteria items under Project Feasibility and Applicant are being met as described below and in the *Guidelines, pg. 16,17.*

		I) Public support–support letters from community organizations, businesses & RE owners	
		II) Infrastructure project plan-provide current plan & future planned activities	
		III) Sidewalk and ADA compliance activities description	
		IV) Historic preservation ethic impact-provide historic preservation ordinance & design guidelines	
		V) Economic development consideration-provide copy of Type A/B (4A/B) sales tax resolution	
		VI) Main Street Program participation-describe historic years of participation	
		VII) Minority hiring by city compared to minority population	
		VIII) Leverage/Match-provide details of sources and uses of match funds	
		IX) Main Street standing-provide documentation showing national recognition for prior year	
		X) Community size-provide Census data	
		XI) TCF grant training-provide copies of attendees certificates	
		XII) Poverty level-provide most recent Census data	
		XIII) Provide a detailed description & explanation of the project identifying what improvements will be paid for with TCF and matching funds	

Section E – Applicant Representations

		I) Applicant Resolution (see sample page 16 of application)	
		II) Executed Certifications	
		A. Certifications	
		B. Certification Regarding Lobbying and Cooperative Agreements	
		III) Section 106 notification letter (Determination of Eligibility) to/from Texas Historical Commission	

Section F – Public Hearings

		I) Public Hearing Notice (publishers affidavit or tear sheet)	
		II) Public notice for intent to submit TCF/MS application (publishers affidavit or tear sheet)	
		II) Listing of local organizations notified of public hearing (see Citizen Participation pages 13 and 14 of the Guidelines)	

Section G – Applicant Financial and Budget

		I) Community Needs Assessment Questionnaire	
		II) Most recent audited financial statement	
		III) Current fiscal operating budget	

Section H – Program Income Report

Section I – Fair Housing Activities Report

Section J – Disclosure Report

Authorized City Official

Title

Date

Texas Capital Fund 2013 Main Street Score Sheet

CITY OF

Applicant

Place support documentation immediately behind this form. Support documentation must be submitted for verification purposes, otherwise the category will be scored zero.

Scoring Categories (Max 100 Points)	
Project Feasibility (Max 50 Points)	Score
Public Support (Max 10 pts): Score 5 points for providing letter from County Historical Commission, local design review board, Economic Development Corporation or Chamber of Commerce. Score additional 5 points for letters from 50% or more of the businesses and/or property owners impacted by the proposed project, which includes businesses within one block of proposed improvements.	
Infrastructure Project Plan (Max 10 pts): Score 5 points for providing city's plan for dealing with an infrastructure project, including detailed description of how access will be provided to affected businesses during construction. Score additional 5 points for providing a general description of future infrastructure projects in the Main Street area, in the next 5 yrs & potential impact to the area.	
Sidewalks and ADA Compliance (Max 10 pts): Score 5 points if a minimum of 50% of requested funds will be used for sidewalk and/or ADA compliance activities. Score 10 points if 70% of the requested funds will be used for sidewalk and/or ADA compliance activities.	
Historic Preservation Ethic Impact (Max 10 pts): Score 5 points to applicants that have a current historic preservation ordinance. Score an additional 5 points to applicants that have design guidelines for the Main Street program or project area.	
Economic Development Consideration (Max 5 pts): Awarded if the city has passed the economic development sales tax (Type A, Type B {4A/4B} or both).	
MS Program Participation (Max 5 pts): For every two years of continuous participation in the Main Street program, the applicant will be awarded 1 point. Points will only be awarded for every two or more consecutive years. Maximum points earned for 10 continuous years of participation.	
Leverage, Economic Emphasis (Max 50 points)	
Minority Hiring (Max 10 pts): This measures an applicant's hiring practices. Score 10 points if the city government's minority employment rate is equal to or greater than the city's minority population rate.	
Leverage/Match (Max 10 pts): A 10% cash match is required. Additional points will be given for additional matching funds. Score 5 points for contributing a 10% additional match; score 10 points for contributing an additional 20%. Additional match may be cash and/or "in-kind".	
MS Standing (Max 5 pts): Score 5 points if city received National Recognition the prior year.	
Community Size (Max 10 pts): Score 5 points if city population is 12,000 or less and an additional 5 points if less than 4,000, using most recent decennial census.	
TCF Grant Training (Max 5 pts): Score 5 points if a city official/employee has attended a TCF, Main Street Improvements and/or Downtown Revitalization application training workshop within the previous two (2) years.	
Poverty Level (Max 10 pts): Score 5 points if city's most recent decennial Census, individual poverty rate is equal to or greater than the state poverty rate. Score 10 points if the city rate is 15% or more over the state rate.	
TOTAL SCORE	

Texas Department of Agriculture
Texas Capital Fund – Main Street Application Form

Tracking #

SECTION A	APPLICANT INFORMATION				
	Locality Name:				
	Localities DUN's #:		11 Digit Texas Tax I.D. #:		
	PHYSICAL ADDRESS				
	Address (No P.O. Box)				
	City	State	Zip	County	
	MAILING ADDRESS				
	P.O. Box				
	City	State	Zip	County	
	Fiscal Year End	Short Description of Project:			
SECTION B	CHIEF ELECTED OFFICIAL				
	Mayor.	First Name	M. I.	Last Name	
	Primary Phone () - Ext.				
	Secondary Phone (optional) () - Ext.		Fax (optional) () - Ext.		
	Date of term expiration				
	E-mail address		Would you prefer to be contacted by E-mail? <input type="checkbox"/> Yes <input type="checkbox"/> No		
	MAILING ADDRESS				
	Address				
	City	State	Zip	County	

SECTION C	LOCALITY CONTACT 1			
	<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> ____	First Name	M. I.	Last Name
	Title		Primary Phone () - Ext.	
	Secondary Phone (optional) () - Ext.		Fax (optional) () - Ext.	
	E-mail address		Would you prefer to be contacted by E-mail? <input type="checkbox"/> Yes <input type="checkbox"/> No	
	MAILING ADDRESS			
Address				
City		State	Zip	County
SECTION D	PRE-AWARD PERSON TO CONTACT 2			
	<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> ____	First Name	M. I.	Last Name
	Title:		Primary Phone () - Ext.	
	Company name :			
	Secondary Phone (optional) () - Ext.		Fax (optional) () - Ext.	
	E-mail address		Would you prefer to be contacted by E-mail? <input type="checkbox"/> Yes <input type="checkbox"/> No	
MAILING ADDRESS				
Address				
City		State	Zip	County
SECTION E	FINANCE DIRECTOR 3			
	<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> ____	First Name	M. I.	Last Name
	Title		Primary Phone () - Ext.	
	Secondary Phone (optional) () - Ext.		Fax (optional) () - Ext.	
	E-mail address		Would you prefer to be contacted by E-mail? <input type="checkbox"/> Yes <input type="checkbox"/> No	
	MAILING ADDRESS			
Address				
City		State	Zip	County

SECTION F	POST-AWARD PERSON TO CONTACT 4			
	<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> ____	First Name	M. I.	Last Name
	Title:		Primary Phone	
	Company Name:		() - Ext.	
	Secondary Phone (optional) () - Ext.		Fax (optional) () - Ext.	
	E-mail address		Would you prefer to be contacted by E-mail? <input type="checkbox"/> Yes <input type="checkbox"/> No	
	MAILING ADDRESS			
Address				
City		State	Zip	County

SECTION G	POST-AWARD PERSON TO CONTACT 5			
	<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> ____	First Name	M. I.	Last Name
	Title:		Primary Phone	
	Company Name:		() - Ext.	
	Secondary Phone (optional) () - Ext.		Fax (optional) () - Ext.	
	E-mail address		Would you prefer to be contacted by E-mail? <input type="checkbox"/> Yes <input type="checkbox"/> No	
	MAILING ADDRESS			
Address				
City		State	Zip	County

SECTION H	LEGISLATIVE NOTIFICATION INFORMATION DISTRICT #'S	
	U. S. Representative	District #
	Telephone Washington ofc. Regional ofc.	
	State Senator	
	Telephone Austin ofc. Regional ofc.	
	State Representative	
	Telephone Austin ofc. Regional ofc.	
	State Representative	
	Telephone Austin ofc. Regional ofc.	
	State Representative	
Telephone Austin ofc. Regional ofc.		

SCHEDULE C	MAIN STREET MANAGER INFORMATION			
	<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> ____		First Name	M. I. Last Name
	Title		Primary Phone () - Ext.	
	Secondary Phone (optional) () - Ext.		Fax (optional) () - Ext.	
	E-mail address		Would you prefer to be contacted by E-mail? <input type="checkbox"/> Yes <input type="checkbox"/> No	
SECTION I	MAILING ADDRESS			
	Address			
	City	State	Zip	County
	SIGNATURE The applicant, by and through its agent's signature below (1) certifies that all information provided in connection with this application at any time is true and correct to the best of their knowledge; (2) acknowledges that any misrepresentation or false statement made in connection with this application, whether intentional or not, will constitute grounds for denial, pursuant to this application and/or assessment of monetary administrative penalties. If signed by an agent (including employee) of the applicant, the person signing certifies that he or she is authorized to make the preceding certifications on behalf of the applicant.			
	Chief Elected Official (type or print name)		Title	
	Applicant Signature		Date / / month day year	

PROJECT INFORMATION

Fill in the blanks or provide extra sheets where necessary.

1. Will the assistance requested have any negative impact(s) or effect(s) on the environment?
Yes ____ No ____ Provide a brief description of potential environmental problems, if any.

Note: All applicants funded by the TCF will have to comply with federal regulations regarding environmental clearance prior to spending TCF funds, as outlined on the *Sources and Uses of Funds* form. See requirements and exceptions under environmental review in the program requirements.

2. Will the assistance requested cause the displacement of individuals, families, businesses, or farms?
Yes ____ No ____ Number of: Individuals: ____ Families: ____
Businesses: ____ Farms: ____
3. Has the city previously applied for a TCF Main Street Improvements Grant? If so, when? Briefly describe the project.
4. Has the city previously received assistance from the Community Development Block Grant (CDBG) program? Yes ____ No ____
If yes, provide an explanation to include when, where, amount, purpose/use of funds, and contact information. (This includes Texas Capital Fund, Community Development, Colonia Fund, Planning and Capacity Building Fund, Disaster Relief/Urgent Need Fund, and/or Housing Demonstration Fund.) The Texas Department of Housing and Community Affairs or TDRA can confirm the receipt of all funds in any of these programs, excluding TCF.
5. a. If the city has received a TCF Main Street Improvements award in the past, was the contract closed-out within the contract period? (If extensions were required, please explain reason for such)
- b. Is there a relationship between the proposed project and the previous project? Please explain.
6. Is there sufficient other infrastructure (except as requested in this application) to support this project?
Yes ____ No ____
7. Does the applicant currently have the Economic Development sales tax? Yes ____ No ____
If yes, how much does the city collect yearly?
8. Will any of the proposed improvements be located on a TXDOT controlled highway, road, or right away?
Yes ____ No ____
9. Is the applicant located in a designated Texas Water Development Board, Economically Distressed Areas Program (EDAP) County?
Yes ____ No ____

If yes, has the applicant adopted the Model Subdivision Rules? If yes, when?
Yes ____ No ____

Applicant Minority Hiring Information

Provide information on the current status of minority hiring within your city as follows and insert into the appropriate area of the application.

Total Population	Minority Population	% Minority Population
Applicant Employment Level	Applicant Minority Employment Level	% Minority Population

***SOURCES AND USES OF FUNDS* Form**

INSTRUCTIONS

The *Sources and Uses of Funds* form displays the total budget for all proposed activities and provides the total projected expenditures for the TCF contract period. At a minimum, review the program requirements for the following items: budget justifications, leverage requirements, equity requirements, eligible uses of funds, ineligible uses of funds, selection criteria/scoring (under selection procedures), and environmental review.

- 1-4. Self-Explanatory.
5. List funds for any use not already explained in 1-4.
6. Enter the applicant's costs for administration of this project.
7. Total each column both vertically and horizontally.

NOTE: Funds and costs, as outlined on the *Sources and Uses of Funds* form, may not be spent or incurred prior to a contract award date from the TCF.

If the applicant has Program Income, contact the Department for clarification.

Main Street Program Sources and Uses of Funds

Applicant Name								
ACTIVITY	TCF Injection	City Injection		Private Injection		Other Sources Injection		TOTAL
1. Real Estate:	\$\$	Source	\$\$	Source	\$\$	Source	\$\$	\$\$
Acquisition								
Equity								
2. Engineering								
3. Infrastructure								
Water								
Sewer								
Sidewalk								
Lighting								
4. Bldg. Const.								
5. Other								
Sub-Total								
6. Administration								
7. TOTAL								

Round Dollar Amounts to even \$100

SUPPORT INFORMATION FOR INFRASTRUCTURE PROJECTS

Provide the following information for any infrastructure activity (included on the Sources and Uses of Funds):

(1) Water Improvements

- (a) Indicate when the treatment facility was constructed.
- (b) If reconstruction or replacement of lines is involved, indicate when the existing line(s) were installed, the diameter(s) of the existing line(s), the material type of the existing lines, and the previous history regarding line cleaning or TVed.
- (c) Indicate the design flow and/or population capacity for the existing facility before and after any proposed improvements.
- (d) Indicate the source of water for the system.
- (e) Indicate the average daily and peak time demands for the existing jurisdiction before and after any proposed expansion relating to this project.
- (f) Indicate if any of the existing capacity/pressure improvements and any of the proposed improvements (such as looping or gate valves) are primarily for fire protection. Indicate if fire hydrants currently exist and if any are being proposed for this project. Does the applicant have an adequate water supply, adequate water pressure, and an adequate number of fire hydrants to fight local fires?
- (g) Indicate if acquisition of real property (including easements and rights-of-way) is needed for this project.
- (h) Indicate if there are any special assessments, including service connection costs and fees, involved relating to this project.

(2) Drainage and Wastewater Improvements

- (a) Indicate when the treatment units were constructed.
- (b) If reconstruction or replacement of lines is involved, indicate when the existing line(s) were installed, the diameter(s) of the existing line(s), the material type of the existing lines, and the previous history regarding line cleaning or TVed.
- (c) Indicate the design flow and/or population capacity for the existing facility before and after any proposed improvements.
- (d) Indicate the average daily and peak time demands for the existing jurisdiction before and after any proposed expansion relating to this project.
- (e) Indicate if the treatment plant is currently meeting its discharge (permit) parameters and if it will meet the discharge (permit) parameters after any proposed expansion relating to this project.
- (f) Indicate if acquisition of real property (including easements and rights-of-way) is needed for this project.
- (g) Indicate if there are any special assessments, including service connection costs and fees, involved relating to this project.
- (h) What are the current drainage patterns and what is the current status of drainage for the general project area?
- (i) What additional drainage load will the proposed project create?
- (j) What percentage of the total area drainage volume will be created by proposed project? What
- (k) is the current drainage percent?
- (k) Is the drainage in the project area controlled by natural terrain features (natural gullies, unimproved creek beds, natural slopes, etc.), or by constructed and designed drainage facilities (storm sewer, designed drainage channels, water crossings, bar ditches, culverts, etc.), or a combination of both? Please describe the natural terrain features and the constructed and designed drainage facilities in the area.

(3) Public Road Improvements

- (a) Indicate the date of the original construction or subsequent improvements.
- (b) Indicate the classification of the road (for example, arterial, collector).
- (c) Describe the surface materials, base materials and widths of the existing road and after the proposed improvements.
- (d) Indicate the current load limit for the road and the load limit after the proposed improvements.
- (e) Indicate the maintenance schedule (including who provides the maintenance) for the road.

- (f) Indicate if any acquisition of real property (including easements and rights-of-way) is needed for this project.
 - (g) Indicate if there are any special assessments involved relating to this project.
 - (h) If new construction is proposed, what are the development patterns in the area?
 - (i) If an upgrade of surface quality is proposed, was poor drainage a contributing factor in the lack of serviceability of the street/road?
- (4) Natural Gas Improvements
- (a) Indicate who provides the service.
 - (b) If reconstruction or replacement of lines is involved, indicate when the existing line(s) were installed, the diameter(s) of the existing line(s), the material type of the existing lines, and the previous history regarding line cleaning or TVed.
 - (c) Indicate the design flow and/or population capacity for the existing facility before and after any proposed improvements.
 - (d) Indicate the average daily and peak time demands for the existing jurisdiction before and after any proposed expansion relating to this project.
 - (e) Indicate if acquisition of real property (including easements and rights-of-way) is needed for this project.
 - (f) Indicate if there are any special assessments, including service connection costs and fees, involved relating to this project.
- (5) Electric Improvements
- (a) Indicate who provides the service.
 - (b) If reconstruction or replacement of lines is involved, indicate when the existing line(s) were installed, the diameter(s) of the existing line(s), and the material type of the existing lines.
 - (c) Indicate the design flow and/or population capacity for the existing facility before and after any proposed improvements.
 - (d) Indicate the average daily and peak time demands for the existing jurisdiction before and after any proposed expansion relating to this project.
 - (e) Indicate if acquisition of real property (including easements and rights-of-way) is needed for this project.
 - (f) Indicate if there are any special assessments, including service connection costs and fees, involved relating to this project.
- (6) Railroad Spurs
- (a) Indicate who provides the service.
 - (b) Indicate the maintenance schedule (including who provides the maintenance) for the railroad spur.
 - (c) Indicate if acquisition of real property (including easements and rights-of-way) is needed for this project.
 - (d) Indicate if there are any special assessments involved relating to this project.
- (7) Disabled Accessibility Projects
- (a) What disabled accessibility provisions are already included in/available at the building/facility or site to which such activities are being proposed?
 - (b) Is the applicant providing full accessibility to the facility/area by including disabled parking, ramps, handrails, doorway widening (exterior and interior doorways), rest room modifications, water fountains, access to upper and lower floors (elevator or lift), and other related improvements?
 - (c) Has the applicant taken into account possible historic preservation concerns regarding proposed modifications to the building/facility in the area?

**TEXAS CAPITAL FUND
REQUEST FOR VERIFICATION OF DEPOSIT**

PRIVACY ACT NOTICE STATEMENT - This information is to be used by the agency collecting it in determining whether you qualify as a prospective beneficiary under the Texas Capital Fund Program. It will not be disclosed outside the agency without your consent except to financial institutions for verification of your deposits and as required and permitted by law. You do not have to give us this information, but, if you do not, your application for approval as a beneficiary may be delayed or rejected.

INSTRUCTIONS

APPLICANT: Complete Items 1 through 5. Applicant: have account holder complete Item 9. Forward directly to the Depository named in Item 1. **DEPOSITORY:** Please complete Items 6 through 12 and return to applicant.

PART 1 - REQUEST

1. TO (Name and Address of Depository)

2. FROM (Name and Address of Applicant)

3. INFORMATION TO BE VERIFIED:

Type of Account and/or Loan	Account/Loan in Name of	Account/Loan Number	Balance
			\$
			\$
			\$
			\$

TO DEPOSITORY: I have applied for support under the TCF and stated that the balance on deposit and/or outstanding loans with you are as shown above. You are authorized to verify this information and to supply the applicant identified above with the information requested in Items 6 through 8. Your response is solely a matter of courtesy for which no responsibility is attached to your institution or any of your officers.

4. NAME AND ADDRESS OF ACCOUNT HOLDER

5. SIGNATURE OF ACCOUNT HOLDER

PART II - VERIFICATION - (To Be Completed By Depository)

6. DEPOSIT ACCOUNTS OF ACCOUNT HOLDER

Type of Account	Account Number	Current Balance	Average Balance for Previous Two Months	Date Opened
		\$	\$	
		\$	\$	

7. LOANS OUTSTANDING TO ACCOUNT HOLDER

Loan Number	Date of Loan	Original Amount	Current Balance	Installments (Mo/Qtr)	Secured by	# of Late Payments within Last 12 Months
		\$	\$	\$ per		
		\$	\$	\$ per		
		\$	\$	\$ per		

8. ADDITIONAL INFORMATION WHICH MAY BE OF ASSISTANCE IN DETERMINATION OF CREDIT WORTHINESS: (Please include information on loans paid-in-full as in Item 11 above).

9. Signature of Depository Official

10. Title

11. Phone

12. Date

The confidentiality of the information you have furnished will be preserved except where disclosure of this information is required by applicable law.

LOCAL GOVERNMENT RESOLUTION

An original or certified original resolution by the local governing body authorizing the submission of an application for economic development funds through the Main Street Program under the Texas Capital Fund Program must be included in the application. The resolution must contain a reference to the specific activity for which the jurisdiction is requesting funds and make a program income decision as described in Section 4. Applicants have the option of including any additional pertinent information. (Sample follows.)

RESOLUTION NO. _____

A RESOLUTION APPROVING AN APPLICATION FOR FUNDING THROUGH THE TEXAS DEPARTMENT OF AGRICULTURE MAIN STREET PROGRAM

BE IT RESOLVED by the City Council of the City of _____ as follows:

SECTION 1.

The City Council has reviewed and hereby approves an application for: (list activities, location and dollar amount)

Main Street Improvements -	\$135,000
Award Administration -	\$ 15,000

SECTION 2.

The City Council has reviewed and hereby agrees to comply with all assurances executed in connection with the application and, if funded the award.

SECTION 3.

The Mayor is hereby authorized and directed to act on the city's behalf in all matters pertaining to this application.

SECTION 4.

The City Council has reviewed and hereby agrees to participate in program income recapture by returning program income to the State to be placed in a specially designated Revolving Loan Fund to be used for future economic development activities at the local level. By agreeing to this measure, the city/county understands that it will only be eligible for one Texas Capital Fund award per program year.

OR

The City Council has reviewed and hereby agrees not to participate in program income recapture and will return all program income to the State to be placed in a statewide Revolving Loan Fund to be used by the State to fund future economic development awards. By agreeing to this measure, the city/county understands that it will be eligible to receive as many Texas Capital Fund awards per program year as it has eligible projects.

(This determination must be made at the time the original award is made and cannot be changed with subsequent awards for this program year or retroactively in subsequent program years.)

PASSED AND ADOPTED at a regular meeting of the City Council of the City of _____ held on _____ by the following vote:

AYES: _____ NAYES: _____ ABSENT: _____

(Title of Authorized Signer and Applicant Name)

ATTEST: _____
(Title of Attestor and Applicant Name)

CERTIFICATIONS

I, _____ as _____
of _____ certify with respect to the expenditure
of funds provided under this contract by _____, that;

1. It will minimize displacement of persons as a result of activities assisted with such funds;
2. The program will be conducted and administered in conformity with the Civil Rights Act of 1964 (42 U.S.C. Sec. 2000a *et seq.*) and the Fair Housing Act (42 U.S.C. Sec. 3901 *et seq.*), and that it will affirmatively further fair housing, as specified by TDRA;
3. It will provide for opportunities for citizen participation, hearings and access to information with respect to its community development programs, as specified by Department and TDRA;
4. It will not attempt to recover any capital costs of public improvements assisted in whole or in part with such funds by assessing any amount against properties owned and occupied by persons of low and moderate income, including any fee charged or assessment made as a condition of obtaining access to such public improvements unless (a) such funds are used to pay the proportion of such fee or assessment that related to the capital costs of such public improvements that are financed from revenue sources other than such funds; or (b) for purposes of assessing any amount against properties owned and occupied by persons of low and moderate income who are not persons of very low income, contractor certifies that it lacks sufficient funds under this contract to comply with the requirements of clause (a);
5. In the event that displacement of residential dwellings will occur in connection with a project assisted with TCDP funds, it will follow a residential antidisplacement and relocation assistance plan, as specified by the Department and TDRA;
6. It shall adopt and enforce a policy prohibiting the use of excessive force by law enforcement agencies within its jurisdiction against any individual engaged in nonviolent civil rights demonstrations and a policy of enforcing applicable state and local laws against physically barring entrance to or exit from a facility or location which is the subject of such nonviolent civil rights demonstration within its jurisdiction.

Name

Date

**CERTIFICATION REGARDING LOBBYING FOR
CONTRACTS, GRANTS, LOANS,
AND COOPERATIVE AGREEMENTS**

The undersigned _____ certifies, to the best of its knowledge and belief, that:

1. No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a member of Congress, an officer or employee of congress, or an employee of a member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.
2. If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit standard form - III, "Disclosure Form to Report Lobbying", in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Signed: _____
Name

Date: _____

Mayor

Determination of Eligibility letter to be produced on city letterhead and sent to the Texas Historical Commission (THC). A response from the THC is not required for the TCF Application, but should be included, if available.

DATE

Mark Wolfe, State Historic Preservation Officer
Texas Historical Commission
c/o History Programs Division
P.O. Box 12276
Austin, TX 78711-2276

Re: Texas Capital Fund Grant, **CITY, COUNTY**

Dear Reviewer:

The City of **CITY** is making application for a Texas Capital Fund grant through the Texas Department of Agriculture. The Texas Capital Fund is financed by the U.S. Department of Housing and Urban Development through the Texas Community Development Program. We understand that a review is required for our project under Section 106 of the National Historic Preservation Act because of the federal funding involved.

The proposed project will consist of **DESCRIBE PROJECT**.

We understand that the first step in the Section 106 review process is to identify whether there are historic buildings, structures, objects, sites, or districts within our project's Area of Potential Effect (APE), which extends beyond the concise footprint of the project location to include adjacent buildings and structures that may experience physical or visual effects from the project. [In the case of sidewalk construction, the APE should include all buildings and structures adjacent to the sidewalk.] Please review the attached material and determine whether properties in the APE are eligible for listing in the National Register of Historic Places:

- Photos of all buildings, structures, or sites 45 years old or older within the above-defined area (labeled with addresses). [Photos should be high quality, color, and show at least the main façade of the building in its entirety.]
- General photos of the project locations (streetscape, etc.).
- Maps with the project area marked. [Historic-age buildings should be identified on maps or photographs should be keyed to maps.]

If you identify historic properties in the APE and our project is selected for funding, we understand that we will need to submit more information regarding the project design elements in order for your office to evaluate the project's potential to affect historic properties and complete the Section 106 review process. This information will include construction documents for the proposed project. However, we also understand that your office recommends early consultation during the design process, before the submission of these drawings, to prevent adverse effects to historic properties and avoid unnecessary delay to project construction.

If you have questions about this information please contact me at **TELEPHONE NUMBER** or **EMAIL**.

Yours truly,

CITY REPRESENTATIVE
CITY DEPARTMENT

Enclosures

COMMUNITY NEEDS ASSESSMENT QUESTIONNAIRE

Address the following needs for the applying jurisdiction. This information should be reflective of the entire city and not just the Main Street area.

1. Housing needs. Briefly describe the locality's most serious housing needs, i.e., deterioration, affordability, or overcrowding.
2. Economic Development needs. In this section, evidence of need might include the percentage and number of unemployed persons, sales tax trends, plant closures, industrial vacancy rate trends, or structural and infrastructure deterioration in commercial/industrial areas, and public benefit. Public benefit includes job creation for Low and Moderate Income persons and others, spin off development, local tax benefits, construction jobs and other special benefits. Please be sure to document the public benefit.
3. Public Facilities needs. In this section, evidence of need might include findings and actions taken by State agencies, surveys of street conditions, and public works department reports on public infrastructure deterioration.
4. Other Basic and Serious Needs. If the applicant's serious and basic needs cannot be categorized by any of the three major areas above, describe here.
5. Discuss the projected and/or existing financial benefits (i.e. tax revenues) to the applicant from the business.
6. Why is the applicant addressing this particular need?
 - a. How many persons are affected/impacted?
 - b. What is the extent of the need? (For example, have there been any recent local closings of businesses or industries?)
 - c. How has this need been documented? (For example, by community survey, public hearing, existing plan/study, documentation by an outside party or other.)
7. How does the applicant propose to resolve the identified need?
 - a. What activities (public and private) will be undertaken?
 - b. For how many people will the need be resolved?
 - c. Are any non-TCDP funded activities pending that would further address the need?
 - d. Are there any indirect benefits to the community as a result of this activity?
 - e. Is this activity part of any existing local plan, policy, or strategy?
8. To what extent does the project capitalize on underutilized capacity? [For example, Is a currently vacant structure going to be used for the business's operations? Is the land (on which the structure is going to be built) already on industrial-zoned land owned by the business or city government?]
9. To what extent does the proposed project diversify the local economic base?
 - a. What is the major economic base of the area?
 - b. List the number and types of existing industries/businesses.
 - c. Regarding the proposed project, will the business (names in this application) be independent of, in competition with, or in support of existing businesses?

SAMPLE 1

CITY OF MEDFORD, TEXAS, CITIZEN COMPLAINT PROCEDURES

for the

TEXAS COMMUNITY DEVELOPMENT PROGRAM

In order to comply with the CDBG Complaint System, 10 T.A.C. Part 6, Chapter 255, Subchapter A, Rule 255.1(f)(4), the following citizen complaint procedures, adopted by the City of Medford, Eugene County, Texas, are intended to provide a timely written response to all complaints and grievances made against the Medford, Eugene County, Texas, Community Development Program efforts:

- 1) A person who has a comment or complaint about the services funded or to be funded by a block grant administered by the city, may submit such comment or complaint in writing to the City Manager who is responsible for administering the block grant program.
- 2) The City Manager shall, within five work days of receiving the comments or complaints, conduct an investigation into same, determine an appropriate response to same and so advise the person who made said comments or complaints, in writing. If, for any reason this cannot be done, the City Manager will, within five working days of receiving the comment or complaint, advise the person making the comment or complement, in writing, why the response cannot be provided within five working days of receiving the comment or Complaint and when a response can be expected.
- 3) The City Manager shall notify the person who made said comments or complaints, in writing, of the final results of any investigation conducted. Unless unusual circumstances interfere, all investigative action and reports documenting the findings of same should be accomplished prior to the 15th working day after the comments or complaints were originally received. Should this final response be delayed, the person making the comments or complaints, must be so advised in writing, to include the problems being encountered and a new date for final resolution of the comment or complaint.
- 4.) A copy of the above outlined comment and/or complaint procedures can be obtained at the city hall in the city of Medford, Eugene County, Texas, between the hours of 8:00 A.M. and 4:30 P.M., Monday through Friday (except holidays).

Passed and approved by the city of Medford, Eugene County, Texas governing body on May 10, 2010.

[Seal of city]

MAYOR _____

ATTEST _____

CITY MANAGER _____

SAMPLE 2

CITY OF MEDFORD CITIZEN PARTICIPATION PLAN

The city of Medford, Eugene County, Texas, shall comply with the following citizen participation plan requirements:

- (1) Provide for and encourage citizen participation, emphasizing participation by persons of low and moderate income residing in slum and blight areas and in areas in which TCDP funds are proposed to be used;
- (2) Provide citizens with reasonable and timely access to local meetings, information and records concerning the proposed and actual use of TCDP funds;
- (3) Provide for technical assistance to groups representative of persons of low and moderate income that request such assistance in developing TCDP proposals with the level and type of assistance to be determined by the city;
- (4) Provide for public hearings to obtain citizen views and to respond to questions and proposals at all stages of the community development program, including at least the development of needs, the review of proposed activities, and a review of program performance, which hearings shall be held after adequate notice, at times and locations convenient to potential or actual beneficiaries, and with accommodations for disabled persons;
- (5) Provide for a timely written response to written complaints and grievances, within 15 working days where practicable; and
- (6) Identify how the needs of non-English speaking residents will be met in the case of public hearings where a significant number of non-English speaking residents can be reasonable expected to participate.

PUBLIC HEARING PROVISIONS

For each public hearing scheduled and conducted by the city of Medford, Eugene County, Texas, the following public hearing provisions shall be observed:

- (1) Public notice of all hearings must be published at least three (3) calendar days prior to the scheduled hearing. The public notice must be published in a non-legal section of a local newspaper. Each public notice must include the date, time, location and topics to be considered at the public hearing. A published newspaper article can also be used to meet this requirement so long as it meets all content and timing requirements.
- (2) Each public hearing shall be held at a time (generally after 5:00 PM on weekdays or on Saturdays) and location convenient to potential or actual beneficiaries and will include accommodation for disabled person.
- (3) When a significant number of non-English speaking residents can be reasonably expected to participate in a public hearing, an interpreter will be present to accommodate the needs of the non-English speaking residents.

COMPLAINT PROCEDURES

The city of Medford, Eugene County, Texas, has in place written citizen complaint procedures that provide a timely written response to complaints and grievances. The complaint procedures comply with the requirements of the Texas Department of Rural Affairs' Complaint System at 10 T.A.C. Part 6, Chapter 255, Subchapter A, Rule 255.1(f)(4). Citizens will be made aware of the location and hours at which times they may obtain a copy of these written procedures.

TECHNICAL ASSISTANCE

When requested, the city of Medford, Eugene County, Texas, will provide technical assistance to groups representative of persons of low and moderate income in developing proposals for the use of TCDP funds. The level and type of assistance shall be determined by the city based upon the specific needs of the community's residents.

The city will comply with the following citizen participation requirements for the preparation and Submission of an application to the Texas Community Development Program:

- (1) At a minimum, the city must hold at least one public hearing/meeting prior to developing the application and submission of the application.
- (2) The city will retain documentation of the hearing/meeting notice(s), a listing of persons attending the hearing, minutes of the hearing, and any other records concerning the proposed use of funds for a period of one year or until the project, if funded, is closed out. Such records will be made available to the public in accordance with Texas Civil Statutes, Article 6252-17a.
- (3) The public hearing will include a discussion with citizens on the development of housing and community development needs, the amount of funding available. All eligible activities under the Texas Community Development Program, and the use of past TCDP contract funds, if applicable. Citizens, with particular emphasis on persons of low and moderate income who are residents of slum and blight areas, will be encouraged to submit their views and proposals regarding community development and housing needs. Citizens will be made aware of the location where they may submit their views and proposals should they be unable to attend the public hearing.
- (4) The second public notice will include a reference to the proposed project, the amount of funds being requested, the estimated amount of funds proposed for activities that will benefit low/moderate income persons, and the plans of the locality to minimize displacement of persons and to assist persons actual displaced as a result of activities assisted with TCDP funds, if applicable. The notice will include the location and hours when the application is available for review.
- (5) While more than one application can be discussed at a public hearing e.g., if the applicant is considering both a Community Development Fund and a Texas Capital Fund application - a hearing held for the previous program year's submittal of the same application (under either fund) is not acceptable for meeting the requirements for any subsequent competition.

The city will comply with the following citizen participation requirements in the event that it receives funding from the Texas Community Development Program:

- (1) The city will hold a public hearing concerning any substantial change, as determined by the Department or the Texas Department of Rural Affairs, proposed to be made in the use of TCDP funds from one eligible activity to another.
- (2) Upon completion of the TCF program activities, the city will hold a public hearing and review its program performance including the actual use of the TCF funds.
- (3) The city will retain documentation of the hearing notice(s), a listing of persons attending the hearing(s), minutes of the hearing(s), and any other records concerning the actual use of funds for a period of three years after the project is closed out. Such records will be made available to the public in accordance with Texas Civil Statutes, Article 6252-17a.

CITIZEN PARTICIPATION PLAN COMPLAINT SYSTEM

1. A citizen who has a comment or complaint about the quality of services provided by any subcontractor for the city related to a Texas Community Development Program (TCDP) funded project or a comment or complaint related to any aspect of a TCDP project may submit such comment or complaint in writing to the Mayor.
2. The Mayor shall advise the complainant that his written comment or complaint will be presented to the city Council at the next regularly scheduled meeting of that body and the complainant shall be invited to attend the meeting to observe the action of the City Council.
3. The Mayor shall present the written comment or complaint to the City Council at its next regularly scheduled meeting and advise the Council that an investigation of the will be conducted. Further, he shall advise the Council that the findings of that investigation will be brought back to the Council at its next regularly scheduled meeting. The Mayor may, at his discretion, appoint a city staff person, a member of the City Council or a committee of the Council to investigate the complaint or he may conduct the investigation himself.
4. At the next regularly scheduled meeting of the City Council, the appointed person or committee or the Mayor shall present a report of its (his) findings. The City Council shall then vote to adopt or reject the report and approve the action to be taken in response to the complaint. The complainant shall be informed of the meeting and be invited to observe the deliberations and decision of the Council.
5. The decision of the City Council shall be carded out and, if necessary, a report shall be given by the Mayor at the next regularly scheduled meeting of the Council confirming that the action required by the Council was completed. If a final report of the resolution of the comment or complaint is to be provided at the next Council meeting, the complainant shall be so informed.
6. The city shall report the comment and complaint received and the action taken in its quarterly report to the Department of Agriculture and close-out documentation for the TCDP project.

Passed and approved by the city of Medford, Eugene County, Texas governing body on August 10, 2006.

[Seal of city]

MAYOR _____

ATTEST _____

CITY MANAGER _____

PROGRAM INCOME REPORT

Complete all appropriate information for prior and current TCDP economic development contracts.

Contract No.	Contract Amt.	Total Amt. PI Projected	Total Amt. PI Collected	Total Amt. PI Redistributed
	\$	\$	\$	\$
	\$	\$	\$	\$
	\$	\$	\$	\$

For all program income (PI) that has been collected and redistributed, please attach a brief listing of activities that were funded with same. Please be aware that contractors are required to utilize program income on hand prior to requesting additional funds from Department. Does the applicant have an RLF plan approved in writing by TCDP?
 Yes_____ No_____

FAIR HOUSING ACTIVITIES

Any locality receiving TCF funds under the current program year must certify that it will affirmatively further fair housing. Using the form provided, please explain the activities presently undertaken to affirmatively further fair housing and which new activities will be undertaken, if an award is made from the Texas Capital Fund. Localities should be aware that, in the event of funding, these fair housing efforts will be monitored. Other activities may be eligible, and the applicant should contact Department to determine eligibility.

Indicate below which fair housing activities are presently undertaken and will be undertaken, if funded. Activities that qualify as affirmatively furthering fair housing include, but are not limited to the following:

Activity	Presently Undertaken	Will Be Undertaken
Passing a fair housing ordinance		
Developing a strategy to pass a fair housing ordinance		
Initiating a fair housing counseling service		
Assisting fair housing groups		
Establishing local complaint and monitoring processes		
Providing housing choices outside historically minority and/or low/moderate income neighborhoods		
Assisting housing projects that are racially mixed		
Enforcing fair housing guidelines that are equivalent to a fair housing ordinance		
Adopting and distributing fair housing policies		
Designating April as Fair Housing Month and performing activities in support of Fair Housing		

TCDP Applicant/Recipient Disclosure/Update Report - Section 102 of the Department of Housing and Urban Development Reform Act of 1989 (42 U.S.C. 3531, P.L. 101-235 approved 12-15-89) and HUD implementing regulations at Subpart C of 24 CFR Part 4, contain disclosure requirements for TCDP applicants and recipients.

The TCDP DISCLOSURE REPORT must be completed by every TCDP applicant. The Form must be signed by the person (e.g., Mayor, County Judge, City Manager) authorized to execute documents in conjunction with the TCDP application or TCDP contract. This report will be required to be updated throughout the contract period. TCDP applicants and recipients must submit updates to reflect substantial changes to the information required on the disclosure report. The period during which updates are required begins when the application is submitted and ends when the applicant is denied funding, or when a TCDP recipient has discharged all of its obligations under the terms of the TCDP contract including the submission of all required reports. Updates must be submitted within 30 days of the change requiring the update.

Provisions at Subpart C of 24 CFR Part 4 require a TCDP applicant requesting assistance for a specific project or activity to make a number of disclosures. Each TCDP applicant must disclose the following information:

- Assistance from other government sources in connection with the TCDP project.
- The financial interests of persons in the TCDP project.
- The sources of funds to be made available for the project.
- The uses for which the funds are to be utilized.

INSTRUCTIONS FOR COMPLETING THE FORM

Privacy Act Statement. Except for Social Security Numbers (SSNs) and Employer Identification Numbers (EINs), the Texas Community Development Program (TCDP) is authorized to collect all information required by this form under Section 102(b) and (c) of the Department of Housing and Urban Development Reform Act of 1989, Pub. L. 101-235, approved December 15, 1989. Disclosure of SSNs and EINs is optional. The TCDP will make available to the public all applicant disclosure reports for five years in the case of applications for competitive assistance, and for generally three years in the case of other applications. Update reports will be made available along with the disclosure reports, but in no case for a period less than three years. All reports, both initial reports and update reports, will be made available in accordance with the Texas Open Records Act (Texas Civil Statutes, Art. 6252-17a). You must provide all the required information. Failure to provide any required information may delay the processing of your application and may result in sanctions and penalties, including imposition of the administrative and civil penalties specified under 24 CFR Section 4.38.

PART I. APPLICANT/RECIPIENT INFORMATION

All TCDP applicants (Initial Report) and all recipients (required to submit an Update Report) must complete the information requested by PART I. Indicate whether the disclosure is an initial or an update report.

1. Enter the full name, address, city, state, zip code and telephone number (including area code) of the applicant/recipient. In the case of an initial report submitted with an application, the Application Identifier will be entered by TCDP staff. TCDP recipients (contractor localities) must enter the TCDP Contract Number for the contract under which the initial or update report is required.
2. Applicants provide a brief description of the proposed project/activity and the location by city and county. (Examples: The replacement of water lines in the city of XYZ located in ABC County. The provision of first time sewer service through the installation of collection lines in the unincorporated ABC Community located in XYZ County.) Recipients provide a brief description based on the project/activity included in the TCDP Contract under which the initial or update report is required.
3. Applicants enter the amount of TCDP assistance that is being requested. Recipients enter the TCDP Contract amount under which the initial or update report relates.

PART II. OTHER GOVERNMENT ASSISTANCE PROVIDED/REQUESTED

This PART is to be completed by both TCDP applicants filing applicant disclosure reports and recipients filing update reports. Applicants must report any other government assistance involved in the project or activity for which TCDP assistance is sought. Recipients must report any other government assistance involved in the project or activity to the extent required under Items 1, 2 and 3 of the instructions for the Update Reports Section.

"Other government assistance" is defined to include any loan, grant, guarantee, insurance, payment, rebate, subsidy, credit, tax benefit or any other form of direct or indirect assistance from the Federal government, a State (other than the TCDP assistance requested in the application), or a unit of general local government, or any agency or instrumentality thereof, that is available, or is expected to be made available with respect to the project or activities for which TCDP assistance is sought. For purposes of

this definition, other government assistance is expected to be made available if, based on an assessment of all the circumstances involved, there is reasonable grounds to anticipate that the assistance will be forthcoming.

Both applicant and recipient disclosures must include all other government assistance involved with the TCDP assistance, as well as any other government assistance that was made available before the request, but that has continuing presence at the time of the assistance request.

If the applicant has No Other Government Assistance To Disclose, then place a mark in the box and proceed to PART III.

Space is provided to enter four (4) sources of other government assistance. If more space is needed, attach an additional page.

Enter the name of the government agency making the assistance available. If applicable, include at least one organizational level below the agency name. For example: U.S. Department of Commerce, Economic Development Administration; Texas Department of Economic Development, HOME.

Enter the address, city, state, and zip code of the government agency making the assistance available.

Enter the program name and any relevant identifying numbers, or other means of identification, for the other government assistance.

State the type of other government assistance (e.g., applicant contribution, loan, grant, loan insurance).

Enter the dollar amount of the other government assistance that is, or is expected to be, made available with respect to the project of activities for which TCDP assistance is sought (applicants) or has been provided (recipients).

PART III. INTERESTED PARTIES

This PART is to be completed by both TCDP applicants filing applicant disclosure reports and recipients filing update reports.

- 1 Applicants must provide information on all developers, contractors, or consultants involved in the application for TCDP assistance or in the planning, development, or implementation of the project or activity; and
- 2 Any other person who has a financial interest in the project or activity for which TCDP assistance is sought that exceeds \$50,000 or 10 percent of the assistance (whichever is lower).

Recipients must make the additional disclosures referred to in Items 1, 2 or 4 of the Update Reports Section.

"A financial interest" means any financial involvement in the project or activity, including (but not limited to) situations in which an individual or entity has an equity interest in the project or activity, shares in any profit on resale or any distribution of surplus cash or other assets of the project or activity, or receives compensation for any goods or services provided in connection with the project or activity. Residency of an individual in housing for which assistance is being sought is no, by itself, considered a covered financial interest.

If the applicant has No Persons With A Reportable Financial Interest To Disclose, then place a mark in the box and proceed to PART IV.

Enter the full names and addresses of all persons referred to in paragraph (1) or (2) of this PART. If the person is an entity, the listing must include the full name of each officer, director, and principal stockholder of the entity.

Entry of the Social Security Number or Employee Identification Number, as appropriate, for each person listed is optional.

Enter the type of participation in the project or activity for each person listed: i.e., the person's specific role in the project (e.g., contractor, consultant, planner, investor).

Enter the financial interest in the project or activity for each person listed. The interest must be expressed both as a dollar amount and as a percentage of the amount of TCDP funds involved.

PART IV. REPORT ON EXPECTED SOURCES AND USES OF FUNDS

This PART is to be completed by both TCDP applicants filing applicant disclosure reports and recipients filing update reports.

The applicant disclosure report must specify all expected sources of funds from the TCDP and from any other source that have been, or are to be, made available for the project or activity. Non-TCDP sources of funds typically include (but are not limited to) the applicant's local contribution; other government assistance referred to in PART II, equity and amounts from foundations and private contributions. The report must also specify all expected uses for which the funds are to be utilized. All sources and uses of funds must be listed, if, based on an assessment of all the circumstances involved, there are reasonable grounds to anticipate that the source or use will forthcoming.

If any of the source/use information required by this report has been provided elsewhere in the application, the applicant need not repeat the information, but need only refer to the form and location to incorporate into this report. Applicants may cite application documents that contain some of this information such as the 424 Form, Project Summary, Table 1, Table 2, Letters of Commitment, etc.

Recipients must submit an update report for any change in previously disclosed sources and uses of funds as provided in Item 5 of the Update Reports Section below. Each reportable source of funds must indicate:

- The name and address, city, state, and zip code of the individual or entity making the assistance available. If applicable, include at least one organizational level below the agency name. For example, U.S. Department of Transportation, U.S. Coast Guard; Department of Safety, Highway Patrol.
- The program name and any relevant identifying numbers, or other means of identification, for the assistance.
- The type of assistance (e.g., applicant contribution, loan, grant, loan insurance).

Each reportable use of funds must clearly identify the purpose for which the funds will be utilized.

UPDATE REPORTS

During the period in which a TCDP application is pending, or in which the TCDP Contract activities are not completed, the applicant/recipient must make the following additional disclosures:

1. Any information that should have been disclosed in connection with the application, but was omitted.
2. Any information that would have been subject to disclosure in connection with the application, but that arose at a later time, including information concerning an interested party that now meets the applicable disclosure threshold referred to in PART II above.
3. For changes in previously disclosed other government assistance that exceeds the amount that was previously disclosed.
4. For changes in previously disclosed financial interests, any change in the amount of the financial interest of a person that exceeds the amount of the previously disclosed interests by \$50,000 or by 10 percent of such interests (whichever is lower).
5. For changes to previously disclosed sources of funds, any change in a source of funds that exceeds the lower of:
 - The amount previously disclosed for that source of funds by \$250,000 or by 10 percent of the amount previously disclosed for that source, whichever is lower; or
 - The amount previously disclosed for all sources of funds by \$250,000 or by 10 percent of the amount previously disclosed for all sources of funds, whichever is lower.

For changes to previously disclosed uses of funds, any change in a use of funds that exceeds the lower of:

- The amount previously disclosed for that use of funds by \$250,000 or by 10 percent of the amount previously disclosed for that use, whichever is lower; or
- The amount previously disclosed for all uses of funds by \$250,000 or by 10 percent of the amount previously disclosed for all uses of funds, whichever is lower.

Update reports must be submitted within 30 days of the change requiring the update.

TCDP APPLICANT/RECIPIENT DISCLOSURE/UPDATE REPORT

PART I APPLICANT/RECIPIENT INFORMATION Indicate whether this is an initial report <input type="checkbox"/> Or an update report <input type="checkbox"/>		
1. Applicant/Recipient Name, Address, and Phone Number (include area code)	TCDP Application Identifier OR TCDP Contract Number	
2. Project assisted/to be assisted (project/activity description and its location by city and county)	3. Amount Requested OR Received \$	
PART II OTHER GOVERNMENT ASSISTANCE PROVIDED/REQUESTED No Other Government Assistance to Disclose <input type="checkbox"/>		
1. Department/State/Local Agency Name	Address (City, State and Zip Code)	
Program	Type of Assistance	Amount Requested/Provided \$
2. Department/State/Local Agency Name	Address (City, State, and Zip Code)	
Program	Type of Assistance	Amount Requested/Provided \$
3. Department/State/Local Agency Name	Address (City, State and Zip Code)	
Program	Type of Assistance	Amount Requested/Provided \$
4. Department/State/Local Agency Name	Address (City, State and Zip Code)	
Program	Type of Assistance	Amount Requested/Provided \$

There Are No Persons With A Reportable Financial Interest To

List All Persons With A Reportable Financial Interest In The Project Or Activity

Type Of Participation In Project/Activity

**Financial Interest In
Project/Activity
(Dollars and %)**

Source Of Funds

CERTIFICATION: I certify that the information given on this form is true and complete.

Date _____